

Attached IPS

| Substitute for Form 1449A/PTO (Modified)  |                          |                             |                     | Complete If Known                                  |  |  |
|---|--------------------------|-----------------------------|---------------------|--|--|--|
| <b>INFORMATION DISCLOSURE<br/>STATEMENT BY APPLICANT</b><br><small>(use summary statement if necessary)</small> |                          |                             |                     | Application Number                                 | 09/704,458   |  |
|   |                          |                             |                     | Filing Date  | 11/1/2000  |  |
|   |                          |                             |                     | First Named Inventor:                              | Erickson, et al.                                       |  |
|   |                          |                             |                     | Group Art Unit                                     | 2181   |  |
|   |                          |                             |                     | Examiner Name                                      | Unassigned   |  |
| Sheet   | 1                        | JUL 29 2002                 | 4                   | Attorney Docket Number                             | 003239.PTOS  |  |
| RECEIVED<br>Technology Center 2100  |                          |                             |                     |  |  |  |
| <b>U.S. PATENT DOCUMENTS</b>  |                          |                             |                     |  |  |  |
| Exam.<br>Initial <sup>1</sup>   | Cite<br>No. <sup>2</sup> | Foreign Patent Document     |                     | Name of Patentee or Applicant<br>of Cited Document | Date of Publication of<br>Cited Document<br>MM-DD-YYYY | Pages, Columns, Lines,<br>Where Relevant<br>Passages or Relevant<br>Figures Appear |
|   |                          | Number<br>Code <sup>3</sup> | Kind<br>(If known)  |  |  |  |
| (SAC)   | 4,365,863                |                             | Broussaud           | 12/28/1982   |  |  |
| (SAM)   | 4,369,523                |                             | Seki, et al.        | 01/18/1983   |  |  |
| (SAM)   | 4,563,774                |                             | Gloge               | 01/07/1986   |  |  |
| (GMP)   | 4,580,873                |                             | Levinson            | 04/08/1986   |  |  |
| (GWI)   | 4,797,879                |                             | Habbab, et al.      | 01/10/1989   |  |  |
| (GWI)   | 4,817,014                |                             | Schneider, et al.   | 03/28/1989   |  |  |
| (GWI)   | 4,843,382                |                             | Oda, et al.         | 06/27/1989   |  |  |
| (GWI)   | 4,856,863                |                             | Sampsell, et al.    | 08/15/1989   |  |  |
| (GWI)   | 4,859,012                |                             | Cohn                | 08/22/1989   |  |  |
| (GWI)   | 4,886,335                |                             | Yanagawa, et al.    | 12/12/1989   |  |  |
| (GWI)   | 4,903,225                |                             | Brost               | 02/20/1990   |  |  |
| (GWI)   | 4,984,238                |                             | Watanabe, et al.    | 01/08/1991   |  |  |
| (GWI)   | 5,037,173                |                             | Sampsell, et al.    | 08/06/1991   |  |  |
| (GWI)   | 5,216,729                |                             | Berger, et al.      | 06/01/1993   |  |  |
| (GWI)   | 5,260,819                |                             | Hadjifotiou, et al. | 11/09/1993   |  |  |
| (GWI)   | 5,349,550                |                             | Gage                | 09/20/1994   |  |  |
| (GWI)   | 5,359,683                |                             | Pan                 | 10/25/1994   |  |  |
| (GWI)   | 5,440,654                |                             | Lambert, Jr.        | 08/08/1995   |  |  |
| (GWI)   | 5,488,862                |                             | Neukermans, et al.  | 02/06/1996   |  |  |

| <b>FOREIGN PATENT DOCUMENTS</b> |                          |                         |                     |  |  |  |                |
|---------------------------------|--------------------------|-------------------------|---------------------|--|--|--|----------------|
| Exam.<br>Initial <sup>1</sup>   | Cite<br>No. <sup>2</sup> | Foreign Patent Document |                     | Name of Patentee or Applicant<br>of Cited Document | Date of Publication<br>of Cited Document<br>MM-DD-YYYY | Pages, Columns,<br>Lines, Where Relevant<br>Passages or Relevant<br>Figures Appear | T <sup>6</sup> |
|                                 |                          | Office <sup>3</sup>     | Number <sup>4</sup> |  |  |  |                |
| (DAS)                           |                          | WO 0007945              | A1                  | Nortel Networks Corp.                              | 02/01/2001   |  |                |
| (GWI)                           |                          | WO0004671               |                     | Laor   | 01/27/2000   |  |                |
| (GWI)                           |                          | WO0013210               | A2                  | XROS, Inc.   | 03/09/2000   |  |                |
| (GWI)                           |                          | WO0013210               | A3                  | XROS, Inc.   | 03/09/2000   |  |                |
| (GWI)                           |                          | WO0020899               | A2                  | XROS, Inc.   | 04/13/2000   |  |                |
| (GWI)                           |                          | WO0020899               | A3                  | XROS, Inc.   | 04/13/2000   |  |                |
| (GWI)                           |                          | WO0163803               | A1                  | XROS, Inc.   | 08/30/2001   |  |                |

|                       |          |                 |          |
|-----------------------|----------|-----------------|----------|
| Examiner<br>Signature | R. Henry | Date Considered | 11/23/02 |
|-----------------------|----------|-----------------|----------|

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Unique citation designation number. <sup>2</sup>See attached Kinds of U.S. Patent Documents. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard S.3). <sup>4</sup>For Japanese patent documents, the indication of the year of reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

Substitut for Form 1449A/PTO (Modified)

# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

JUL 23 2002

Sheet 2 of 4

PRIORITY TRADEMARKS

Attorney Docket Number

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JUL 29 2002

**Complete If Known**

Application Number 09/704,458

Filing Date 11/1/2000

First Named Inventor Erickson, et al.

Group Art Unit 2181

Examiner Name Unassigned

JUL 29 2002

**U.S. PATENT DOCUMENTS**

Technology Center 2100

| Exam.<br>Initial <sup>a</sup> | Cite<br>No. <sup>1</sup> | U.S. Patent Document |                                      | Name of Patentee or Applicant<br>of Cited Document | Date of Publication of<br>Cited Document<br>MM-DD-YYYY | Pages, Columns,<br>Lines, Where Relevant<br>Passages or Relevant<br>Figures Appear |
|-------------------------------|--------------------------|----------------------|--------------------------------------|--|--|--|
|                               |                          | Number               | Kind Code <sup>b</sup> (If<br>known) |  |  |  |
| SMV                           |                          | 5,524,153            |                                      | Laor   | 06/04/1996   |  |
| SMV                           |                          | 5,535,293            |                                      | Buchin   | 07/09/1996   |  |
| SMV                           |                          | 5,539,328            |                                      | Mirov, et al.                                      | 07/23/1996   |  |
| SMV                           |                          | 5,608,735            |                                      | McCullough, et al.                                 | 03/04/1997   |  |
| SMV                           |                          | 5,629,790            |                                      | Neukermans, et al.                                 | 05/13/1997   |  |
| SMV                           |                          | 5,648,618            |                                      | Neukermans, et al.                                 | 07/15/1997   |  |
| SMV                           |                          | 5,694,389            |                                      | Seki, et al.                                       | 12/02/1997   |  |
| SMV                           |                          | 5,699,463            |                                      | Yang, et al.                                       | 12/16/1997   |  |
| SMV                           |                          | 5,719,903            |                                      | Hiben, et al.                                      | 02/17/1998   |  |
| SMV                           |                          | 5,727,098            |                                      | Jacobson   | 03/10/1998   |  |
| SMV                           |                          | 5,774,804            |                                      | McDonald   | 06/30/1998   |  |
| SMV                           |                          | 5,828,476            |                                      | Bonebright, et al.                                 | 10/27/1998   |  |
| SMV                           |                          | 5,864,643            |                                      | Pan  | 01/26/1999   |  |
| SMV                           |                          | 5,903,687            |                                      | Young, et al.                                      | 05/11/1999   |  |
| SMV                           |                          | 5,915,063            |                                      | Colbourne, et al.                                  | 06/22/1999   |  |
| SMV                           |                          | 5,942,937            |                                      | Bell   | 08/24/1999   |  |
| SMV                           |                          | 5,980,132            |                                      | Lin  | 09/28/1999   |  |
| SMV                           |                          | 6,002,818            |                                      | Fatehi, et al.                                     | 12/14/1999   |  |
| SMV                           |                          | 6,005,993            |                                      | MacDonald  | 12/21/1999   |  |
| SMV                           |                          | 6,069,924            |                                      | Sudo, et al.                                       | 05/30/2000   |  |

**FOREIGN PATENT DOCUMENTS**

| Exam.<br>Initial <sup>a</sup> | Cite<br>No. <sup>1</sup> | Foreign Patent Document |                     |                                      | Name of Patentee or Applicant<br>of Cited Document | Date of Publication<br>of Cited Document<br>MM-DD-YYYY | Pages, Columns,<br>Lines, Where Relevant<br>Passages or Relevant<br>Figures Appear | T <sup>c</sup> |
|-------------------------------|--------------------------|-------------------------|---------------------|--------------------------------------|--|--|--|----------------|
|                               |                          | Office <sup>d</sup>     | Number <sup>e</sup> | Kind Code <sup>b</sup><br>(If known) |  |  |  |                |
| SMV                           |                          |                         | WO0171402           |                                      | XROS, Inc.   | 09/27/2001   |  |                |
| SMV                           |                          |                         | WO0150176           | A1                                   | Polatis Limited                                    | 07/12/2001   |  |                |
| SMV                           |                          |                         | WO9963374           |                                      | Laor   | 12/09/1999   |  |                |
| SMV                           |                          |                         | WO9963531           |                                      | Laor   | 12/09/1999   |  |                |
| SMV                           |                          |                         | WO9966354           |                                      | Laor   | 12/23/1999   |  |                |
| SMV                           |                          |                         | WO9967666           |                                      | Laor   | 12/29/1999   |  |                |

Examiner  
Signature

B. Henly

Date Considered

11/23/02

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>a</sup>Unique citation designation number. <sup>b</sup>See attached Kinds of U.S. Patent Documents. <sup>c</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard S.3). <sup>d</sup>For Japanese patent documents, the indication of the year of reign of the Emperor must precede the serial number of the patent document. <sup>e</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>f</sup>Applicant is to place a check mark here if English language Translation is attached.

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|-----------------------|----------|-----------------|----------|
| Examiner<br>Signature | B. Healy | Date Considered | 11/23/05 |
|-----------------------|----------|-----------------|----------|

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Substitute for Form 1449A/PTO (Modified)

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(use as many sheets as necessary)

JUL 23 2002

PATENT AND TRADEMARK OFFICE

Sheet 4 of

**Complete if Known**

|                        |                                    |
|------------------------|------------------------------------|
| Application Number     | 09/704,458                         |
| Filing Date            | 11/1/2000                          |
| First Named Inventor:  | Erickson                           |
| Group Art Unit         | 2181                               |
| Examiner Name          | Unassigned JUL 29 2002             |
| Attorney Docket Number | 003239 P085 Technology Center 2100 |

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PATENT AND TRADEMARK OFFICE

**OTHER ART - NO PATENT LITERATURE DOCUMENTS**

| Examiner Initials* | Cite No <sup>1</sup> | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published | T <sup>2</sup> |
|--------------------|----------------------|--|----------------|
| BW/H               |                      | GUSTAFFSON, K. & HOK, B., A Batch-Processed Optical Scanner Proc. 12th Nordic Semiconductor Meeting, Jevnaker (Oslo: Center for Industrial Research) pp. 282-5 (1986).   |                |
| SW/H               |                      | GUSTAFFSON, K. & HOK, B., Fiberoptic Switching and Multiplexing with a Micromechanical Scanning Mirror, Digest of Technical Papers 4th Int. Conf. on Solid State Sensors and Actuators (Tokyo: Institute of Electrical Engineers of Japan) pp. 212-5 (1987).   |                |
| SW/H               |                      | GUSTAFFSON, K. & HOK, B., a Silicon Light Modulator, Journal of Physics E. Scientific Instruments 21, pp. 608-5 (1998).  |                |
| LY/H               |                      | LIN L.Y., et al., Free-Space Micromachined Optical-Switching Technologies and Architectures, OFC/100C '99, February 21-26, 1999.   |                |
| LY/H               |                      | LIN, L.Y., et al., Free-Space Micromachined Optical-Switching Technologies and Architectures, OFC/100C '99, February 21-26, 1999.  |                |
| LY/H               |                      | LAOR, H., et al., Performance of a 576 x 576 optical cross connect, NFOEC-99.  |                |
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|--------------------|----------|-----------------|----------|
| Examiner Signature | B. Henry | Date Considered | 11/28/02 |
|--------------------|----------|-----------------|----------|

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# Electronic Information Disclosure Statement

## Connection Protection Between Clients and Optical Cross-Connect Switches

Application: 09/704458

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JUL 23 2002

Confirmation: 3998

Technology Center 2100

Applicant(s): Kent Erickson

Docket Number: 003239.P085

Group Art Unit: 2181

Examiner: Unassigned

search string: (4365863 or 4369523 or 4563774 or 4580873 or 4797879 or 4817014 or 4843382 or 4856863 or 4859012 or 4886335 or 4903225 or 4984238 or 5037173 or 5215729 or 5260819 or 5349550 or 5359683 or 5440654 or 5488862 or 5524153 or 5535293 or 5539328 or 5608735 or 5629790 or 5648618 or 5694389 or 5699463 or 5719903 or 5727098 or 5774604 or 5828476 or 5864643 or 5903687 or 5915063 or 5942937 or 5960132 or 6002818 or 6005993 or 6069924 or 6097858 or 6097859 or 6160821 or 6188814 or 6195402 or 6295154 or 6392220 ).pn.

### US Patent Documents

Note: Applicant is not required to submit a paper copy of cited US Patent Documents

| Init | Citation No. | Patent Number | Date       | Bar Code | Patentee       | Class | Subclass |
|------|--------------|---------------|------------|----------|----------------|-------|----------|
|      | P01          | 4365863       | 1982-12-28 |          | Broussaud      | 375   | 31X      |
|      | P02          | 4369523       | 1983-01-18 |          | Seki, et al.   | 398   | 9X       |
|      | P03          | 4563774       | 1986-01-07 |          | Gloge          | 375   | 1X       |
|      | P04          | 4580873       | 1986-04-08 |          | Levinson       | 250   | 227.11   |
|      | P05          | 4797879       | 1989-01-10 |          | Habbab, et al. | 370   | 3        |

|     |         |            |  |                     | CLOS | Sy6<br>CLO5J  |
|-----|---------|------------|--|---------------------|------|---------------|
| P06 | 4817014 | 1989-03-28 |  | Schneider, et al.   | 364  | 728.03<br>24X |
| P07 | 4843382 | 1989-06-27 |  | Oda, et al.         | 340  | 825.59        |
| P08 | 4856863 | 1989-08-15 |  | Sampsell, et al.    | 385  | 24X           |
| P09 | 4859012 | 1989-08-22 |  | Cohn                | 385  | 24X           |
| P10 | 4886335 | 1989-12-12 |  | Yanagawa, et al.    | 250  | 227.11        |
| P11 | 4903225 | 1990-02-20 |  | Brost               | 375  | 96            |
| P12 | 4984238 | 1991-01-08 |  | Watanabe, et al.    | 370  | 105.1         |
| P13 | 5037173 | 1991-08-06 |  | Sampsell, et al.    | 385  | 17            |
| P14 | 5216729 | 1993-06-01 |  | Berger, et al.      | 385  | 31            |
| P15 | 5260819 | 1993-11-09 |  | Hadjifotiou, et al. | 359  | 110           |
| P16 | 5349550 | 1994-09-20 |  | Gage                | 364  | 728.03        |
| P17 | 5359683 | 1994-10-25 |  | Pan                 | 385  | 22            |
| P18 | 5440654 | 1995-08-08 |  | Lambert, Jr.        | 385  | 17            |
| P19 | 5488862 | 1996-02-06 |  | Neukermans, et al.  | 73   | 504.02        |
| P20 | 5524153 | 1996-06-04 |  | Laor                | 385  | 16            |
| P21 | 5535293 | 1996-07-09 |  | Buchin              | 385  | 18            |
| P22 | 5539328 | 1996-07-23 |  | Mirov, et al.       | 326  | 30            |
| P23 | 5608735 | 1997-03-04 |  | McCullough, et al.  | 370  | 513           |
| P24 | 5629790 | 1997-05-13 |  | Neukermans, et al.  | 359  | 198           |
| P25 | 5648618 | 1997-07-15 |  | Neukermans et al.   | 73   | 862.08        |
| P26 | 5694389 | 1997-12-02 |  | Seki, et al.        | 370  | 208           |
| P27 | 5699463 | 1997-12-16 |  | Yang, et al.        | 385  | 22            |
| P28 | 5719903 | 1998-02-17 |  | Hiben, et al.       | 375  | 322           |
| P29 | 5727098 | 1998-03-10 |  | Jacobson            | 385  | 31            |
| P30 | 5774604 | 1998-06-30 |  | McDonald            | 385  | 18            |

|     |         |            |  |                    | CLASS | S88<br>CLASS |
|-----|---------|------------|--|--------------------|-------|--------------|
| P31 | 5828476 | 1998-10-27 |  | Bonebright, et al. | 359   | 152          |
| P32 | 5864643 | 1999-01-26 |  | Pan                | 385   | 33           |
| P33 | 5903687 | 1999-05-11 |  | Young, et al.      | 385   | 17           |
| P34 | 5915063 | 1999-06-22 |  | Colbourne, et al.  | 385   | 140          |
| P35 | 5942937 | 1999-08-24 |  | Bell               | 329   | 303          |
| P36 | 5960132 | 1999-09-28 |  | Lin                | 385   | 24X          |
| P37 | 6002818 | 1999-12-14 |  | Fatehi, et al.     | 385   | 24X          |
| P38 | 6005993 | 1999-12-21 |  | MacDonald          | 385   | 24X          |
| P39 | 6069924 | 2000-05-30 |  | Sudo, et al.       | 385   | 24X          |
| P40 | 6097858 | 2000-08-01 |  | Laor               | 385   | 24X          |
| P41 | 6097859 | 2000-08-01 |  | Solgaard, et al.   | 385   | 24X          |
| P42 | 6160821 | 2000-12-12 |  | Dolle, et al.      | 385   | 24X          |
| P43 | 6188814 | 2001-02-13 |  | Bhalla             | 385   | 24X          |
| P44 | 6195402 | 2001-02-27 |  | Hiramatsu          | 385   | 24X          |
| P45 | 6295154 | 2001-09-25 |  | Laor, et al.       | 385   | 24X          |
| P46 | 6392220 | 2002-05-21 |  | Slater, et al.     | 385   | 24X          |

## Signature

|               |        |
|---------------|--------|
| Examiner Name | Date   |
| R. Healy      | 6/5/03 |



2010  
10-902  
E-Hall

# Electronic Information Disclosure Statement

## Connection protection between clients and optical cross-connect switches

Application: 09/704458

Confirmation: 3998

Applicant(s): Kent Erickson

Docket Number: 003239.P085

Group Art Unit: 2181

Examiner: Wong, Peter S.

search string: (6,130,876 or 6,185,021 or 6,192,172 or 6,222,954 or 6,252,689 or 6,272,154 or 6,278,812 or 6,285,809 or 6,301,402 or 6,317,530 or 6,374,008 or 6,400,730 or 5,666,487).pn.

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OCT 03 2002

Technology Center 2100

### US Patent Documents

Note: Applicant is not required to submit a paper copy of cited US Patent Documents

| Init | Citation No. | Patent Number | Date       | Bar Code | Patentee       | Class | Subclass |
|------|--------------|---------------|------------|----------|----------------|-------|----------|
|      | P01          | 6,130,876     | 2000-10-10 |          | Chaudhuri      | 370   | 228      |
|      | P02          | 6,185,021     | 2001-02-06 |          | Gatehi, et al. | 359   | 117      |
|      | P03          | 6,192,172     | 2001-02-20 |          | Gatehi, et al. | 385   | 17       |
|      | P04          | 6,222,954     | 2001-04-24 |          | Riza           | 385   | 18       |
|      | P05          | 6,252,689     | 2001-06-   |          | Sharp          | 359   | 168      |

|     |           |            | 26         |                  |     | CROSS<br>REF | SUB-<br>CLASS |
|-----|-----------|------------|------------|------------------|-----|--------------|---------------|
| P06 | 6,272,154 | 2001-08-07 | [REDACTED] | Bala, et al.     | 359 | 341          |               |
| P07 | 6,278,812 | 2001-08-21 | [REDACTED] | Lin, et al.      | 385 | 18           |               |
| P08 | 6,285,809 | 2001-09-04 | [REDACTED] | Nir, et al.      | 385 | 17           |               |
| P09 | 6,301,402 | 2001-10-09 | [REDACTED] | Bhalla, et al.   | 385 | 16           |               |
| P10 | 6,317,530 | 2001-11-13 | [REDACTED] | Ford             | 385 | 17           |               |
| P11 | 6,374,008 | 2002-04-16 | [REDACTED] | Solgaard, et al. | 385 | 17           |               |
| P12 | 6,400,730 | 2002-06-04 | [REDACTED] | Latif, et al.    | 370 | 466          |               |
| P13 | 5,666,487 | 1997-09-09 | [REDACTED] | Goodman, et al.  | 382 | 232          |               |

## Remarks

(Remarks are not for responding to an office action.)

Applicants, in accordance with their duty of disclosure under 37 CFR 1.56 and in accordance with 37 CFR 1.97(b)(3), hereby submit this Electronic Information Disclosure Statement citing U.S. Patent Documents for consideration by the Examiner. \* Pursuant to 37 CFR 1.97, the submission of this Electronic Information Disclosure Statement is not to be construed as a representation that a search has been made and is not to be construed as an admission that the information cited in this statement is material to patentability. \* This Information Disclosure Statement is being filed prior to a substantive examination of the claims. Pursuant to 37 CFR 1.97(b), no fee should be required for the filing of this Information Disclosure Statement. In the event it is determined that a fee is due, please charge the fee to Deposit Account 02-2666. \* Applicants respectfully requests that the cited documents be considered and that the form be initialed by the Examiner to indicate such consideration and a copy thereof be returned to Applicants' attorney of record. \*

## Signature

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|---------------|----------|------|--------|
| Examiner Name | B. Healy | Date | 6/7/03 |
|---------------|----------|------|--------|